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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO

(use as many sheets as necessary)

Sheet

1

of

11

Complete if Known

Application Number	10/717,294
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Filing Date	11/19/2003
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First Named Inventor	Kenneth B. Tingey
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Group Art Unit	2164
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Examiner Name	Phuong-Thao Cao
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Attorney Docket Number	12710.0024
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Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number -	Kind Code ² (if known)			
PTC		4,276,597		Dissly, et al.	06/30/1981	707/1
PTC		4,631,664		Bachman	12/23/1986	707/100
PTC		4,648,036		Gallant	03/03/1987	707/203
PTC		4,686,620		Ng	08/11/1987	707/10
PTC		4,744,028		Karmarkar	05/10/1988	705/8
PTC		4,766,539		Fox	08/23/1988	705/4
PTC		4,807,108		Ben-Arieh, et al.	02/21/1989	700/28
PTC		4,831,526		Luchs, et al.	05/16/1989	705/4
PTC		4,837,693		Schotz	06/06/1989	705/4
PTC		4,853,843		Ecklund	08/01/1989	707/203
PTC		4,866,628		Natarajan	09/12/1989	700/102
PTC		4,930,071		Tou, et al.	05/29/1990	707/4
PTC		5,119,318		Paradies, et al.	06/02/1992	706/52
PTC		5,191,522		Bosco, et al.	03/02/1993	705/4
PTC		5,260,868		Gupta, et al.	11/09/1993	700/100
PTC		5,263,129		Ikegaya, et al.	11/16/1993	345/418
PTC		5,273,434		Peck	12/28/1993	434/224
PTC		5,311,424		Mukherjee, et al.	05/10/1994	705/29
PTC		5,369,570		Parad	11/29/1994	705/8
PTC		5,724,576		Letourneau	03/03/1998	707/100

[illegible]

/Phuong Thao Cao/

04/20/2006

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
				Application Number	10/717,294
				Filing Date	11/19/2003
				First Named Inventor	Kenneth B. Tingey
				Group Art Unit	2164
				Examiner Name	Phuong-Thao Cao
				Attorney Docket Number	12710.0024
Sheet	2	of	11		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
PTC		5,499,365		Anderson, et al.	03/12/1996	707/203
PTC		5,404,525		Endicott, et al.	04/04/1995	707/108
PTC		5,745,755		Covey	04/28/1998	707/203
PTC		5,758,152		LeTourneau	05/26/1998	707/102
PTC		5,535,386		Wang	07/09/1996	707/203
PTC		5,649,190		Sharif-Askary, et al.	07/15/1997	707/101
PTC		5,440,730		Elmasri, et al.	08/08/1995	707/203
PTC		5,455,407		Rosen	10/03/1995	705/69
PTC		5,842,196		Asgarwal, et al.	11/24/1998	707/2
PTC		5,845,295		Houseman, et al.	12/01/1998	707/204
PTC		5,862,346		Kley, et al.	01/19/1999	709/245
PTC		5,870,733		Bass, et al.	02/09/1999	707/2
PTC		5,903,891		Chen, et al.	05/11/1999	707/10
PTC		5,905,982		Carey, et al.	05/18/1999	707/4
PTC		5,907,837		Ferrel, et al.	05/25/1999	707/3
PTC		5,937,402		Pandit	08/10/1999	707/4
PTC		5,937,409		Wetherbee	08/10/1999	707/103
PTC		5,949,876		Ginter, et al.	09/07/1999	705/80
PTC		5,956,725		Burroughs, et al.	09/21/1999	707/101
PTC		5,970,476		Fahey	10/19/1999	705/28

[illegible]

Examiner Signature	/Phuong Thao Cao/	Date Considered	04/20/2006
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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known		
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First Named Inventor	Kenneth B. Tingey				
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Attorney Docket Number	12710.0024				
Sheet	5	of	11		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ²	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		VATTER, W. J. 1947. The fund theory of accounting and its implications for financial reports. Chicago: University of Chicago Press.	
		Mattessich, R. 1964. Accounting and analytic methods. Homewood, IL: Richard D. Irwin, Inc.	
		Ijiri, Y. 1965. Management goals and accounting for control. Chicago: Rand McNally & Company.	
		Ijiri, Y. 1967. The foundations of accounting measurement. Houston, TX: Scholars Book Co.	
		Minsky, M. (Ed.). 1968. Semantic information processing. Cambridge, MA: The MIT Press.	
		Raphael, D. 1968. SHR. Semantic information retrieval. In M. Minsky (1968), Semantic information processing. Cambridge, MA: The MIT Press.	
PTC		Sorter, G. H. 1969. An 'events' approach to basic accounting theory. The Accounting Review, January, 1969, 12-19.	
PTC		Codd, E. F. 1970. A relational model of data for large shared data banks. Communications of the ACM 13(6), 377-387.	
PTC		Colantoni, C. S., Manes, R. P., & Whinston, A. 1970. A unified approach to the theory of accounting and information systems. The Accounting Review 46(1), 90-102.	
PTC		Johnson, O. 1970. Toward an "events" theory of accounting. The Accounting Review, October 1970, 641-653.	
		Vatter, 1971. Accounting measurements for financial reports. Homewood, IL: Richard D. Irwin.	

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			Group Art Unit	2164	
			Examiner Name	Phuong-Thao Cao	
Sheet	6	of	11	Attorney Docket Number	12710.0024

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Int. 1975. Theory of accounting measurement. Sarasota, FL. American Accounting Association.	
PTC		Lieberman, A. Z., & Whinston, A. B. 1975. A structuring of an events-accounting information system. The Accounting Review, 50(2), 246-249.	
		Astrahan, M. M., Diloger, M. W., Chamberlin, D. D., Edwards, K. P., Gray, J. N., Griffiths, P. P., King, W. P., Lorie, R. A., McJones, J. W., Mohi, J. W., Putzolo, G. R., Traiger, I. L., Wade, D. W., & Watson, V. 1976. System R: Relational approach to database management. ACM Transactions on Database Systems, 1(2), 97-197.	
PTC		Chen, P. P. S. 1976. The entity-relationship model: Toward a unified view of data. ACM Transactions on Database Systems, 1(1), 9-36.	
PTC		Haseman, W. D., & Whinston, A. B. 1976. Design of a multidimensional accounting system. The Accounting Review 51(1), 65-79.	
		Chamberlin, D. D. 1977. Relational data base management systems. Computing Surveys, 8(1), 43-66.	
PTC		Everest, G. C., & Weber, R. 1977. A relational approach to accounting models. The Accounting Review, April, 1977, 340-59.	
PTC		Smith, J. M. & Smith, D. C. P. 1977. Database abstractions: Aggregation and generalization. ACM Transactions on Database Systems, 2(2), 105-133.	
		Taylor, R. W., & Frank, R. L. 1977. CODASYL data base management systems. Computing Surveys, 8(1), 67-103.	
		McCarthy, W. E. 1978. A relational model for events based accounting systems. (Doctoral dissertation, Michigan State University, 1978).	
PTC		Benbasat, I., & Dexter, A. S. 1979. Value and events approaches to accounting: An experimental evaluation. The Accounting Review 57(3), 735-749.	

Examiner Signature	/Phuong Thao Cao/	Date Considered	04/20/2006
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Sheet	7	of	11	Application Number	10/717,294
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PTC		McCarthy, W. E. 1979. An entity-relationship view of accounting models. The Accounting Review 57(3), 667-686.	
PTC		McCarthy, W.E.. 1982. The REA accounting model: A generalized framework for accounting systems in a shared data environment. The Accounting Review, (57)3, 554-578.	
		Doming, W. E. 1982/1986. Out of the crisis. Cambridge, MA: Massachusetts Institute of Technology Center for Advanced Engineering Study.	
PTC		Amer, T., Bailey, A. D. Jr., & De, P. 1987. A review of the computer information systems research related to accounting and auditing. Journal of Information Systems, 1(2), 3-28.	
PTC		McCarthy, W. E. 1987a. On the future of knowledge-based accounting systems. In M. Vasarhelyi (Ed.), Artificial Intelligence in Accounting and Auditing: The Use of Expert Systems. New York: Marcus Wiener Publishing. Available: http://gsma62.rutgers.edu/raw/publisher/appl11.htm .	
PTC		McCarthy, W. E. 1987b. Accounting information systems: Research directions and perspective. Journal of Information Systems, 2(1), 29-32.	
PTC		Weber, R. 1987. Toward a theory of artifacts: A paradigmatic base for information science research. Journal of Information Systems, Spring 1987.	
PTC		Armitage, H. M., & McCarthy, W. E. (1987). Decision support using entity-relationship modeling. Journal of Accounting and EDP, Fall 1987, 12-17.	
PTC		Cushing, B. E. 1989. On the feasibility and the consequences of a database approach to corporate financial reporting. Journal of Information Systems, Spring 1989, 29-52.	
		Dennis, E. L., & Vangermeersch, R. 1990. Book review: Artificial intelligence in accounting & auditing by M. A. Vasarhelyi. Issues in Accounting Education 5(2), 352-353.	
		Sorier, G. H., Ingberman, M. J., & Maximon, H. M. 1990. Financial accounting: An events and cash flow approach. New York: McGraw-Hill, Inc.	

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Sheet	8	of	11		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
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		Womack, J. P., Jones, D. T., & Roos, D. 1990. The machine that changed the world. The story of lean production. New York: HarperPerennial.	
		Scherkenbach, W. W. 1991. Deming's road to continual improvement. Knoxville, TN: SPC Press, Inc.	
		Goodhue, D. L., Kirsch, L. J., Quillard, J. A., Wybo, M. D. 1992. Strategic data planning: Lessons from the field. MIS Quarterly, 16(1), 11-46.	
PTC		Seddon, P. B. 1992. Formula accounting. Accounting and Business Research, 22(Spring), 161-171.	
		Denna, E. L., Cherrington, J. O., Andros, D. P., & Hollander, A. S. 1993. Event-driven business solutions: Today's revolution in business and information technology. Homewood, IL: Business One Irwin.	
		Hammer, M., & Champy, J. 1992. Reengineering the corporation: A manifesto for business revolution. New York: HarperBusiness.	
PTC		Denna, E. L., & Jaspersen, J. 1994. Modeling conversion process events. Journal of Information Systems 8(1), 43-55.	
		Matteasish. 1996. Critique of accounting. Westport, CT: Quorum Books.	
		Tingey, K. B. 1995, April 14. Memorandum to Steve Thomas: Accounting entries, period management, postings for Christopher Enterprises and Empower Net, budgeting, and cost and income classification definitions. Logan, UT: OpenNet Corporation.	
		Gastello, M. 1996. The rise of the network society. Malden, MA: Blackwell Publishers, Inc.	
PTC		Denna, E. L., & Perry, L. T. 1996. Integrative business solutions. Available: http://marriottschool.byu.edu/emp/eld/wip/solution/solution.htm .	

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Sheet	9	of	11	Attorney Docket Number	12710.0024

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PTC		McCarthy, W. E., David, J. S., & Sommer, B. S. 1996. The evolution of enterprise information systems: From sticks and jars past journals and ledgers toward interorganizational webs of business objects and beyond. Michigan State University, September 27. Presented at OOPSLA '96 Workshop on Business Object Design and Implementation. Available: http://jeffsutherland.org/oopsla96/mccarthy.html .	
PTC		Seddon, P.B. 1996. An architecture for future computer-based accounting systems: Generating formula accounting journal entries from TPS databases using the resources and exchange events accounting model. Journal of Information Systems 10(1), 1-25.	
PTC		Weber, R. 1996. Are attributes entities? A study of database designers' memory structures. Information Systems Research, 7(2), 137-162.	
PTC		Alschuler, L. 1997. The data-driven desktop: DataChannel pushes XML. Seybold Report of Internet Publishing, 2(2), 9-15.	
PTC		Dunn, C. L., & McCarthy, W. E. 1997. The REA accounting model: Intellectual heritage and prospects for progress. Journal of Information Systems, 11(1), 31-51.	
		Mages, R. F. 1997. Making instruction work: A step by step guide to designing and developing instruction that works. Atlanta, GA: The Center for Effective Performance, Inc.	
PTC		Inman, E. E. 1998. Enterprise modeling advantages of San Francisco for general ledger systems. IBM Systems Journal, 37(2), 170-180.	
		Johnson, H., Brown, L., Himmer, F. G., Reis, W., & Westman, J. 1998. Understanding LDAP. Austin TX: IBM International Technical Support Organization. Available: http://www.redbooks.ibm.com/pubs/pdfs/redbooks/sg244986.pdf.	
PTC		David, J. S., Dunn, C. L., & McCarthy, W. E. 1999, November. Enterprise resource planning systems research: The necessity of explicating and examining patterns in symbolic form. Proceedings of the First Annual Workshop on enterprise Management and Resource Planning Systems: Methods, Tools, and Architecture. Venice, Italy. Link: http://leeks.jasi.rm.cnr.it/emms99/papers/Dunn.pdf .	
		Straussner, J. 1999. Directory enabled networks. Indianapolis, IN: Macmillan Technical Publishing.	
		Tingedy, K. B. 1999. Dual control: Harnessing technology for breakthrough performance. North Logan, UT: OpenNet Corporation.	

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		Dick, K. 2000. XML: A manager's guide. Boston: Addison-Wesley.	
		Hollander, A. S., Donna, E. L., & Cherrington, J. O. 2000. Accounting information technology, and business solutions (2nd Ed.). New York: McGraw-Hill Higher Education.	
		Watson, L. A., McGuire, D. L., & Cohen, E. E. 2000, September. Looking at business reports through XML: tinted glasses. Strategic Finance, 40-45.	
		Bradford, M., Mayfield, T., & Toney, C. 2001, May. Does ERP fit in a lean world? Strategic Finance, 28-34.	
		Coffin, Z. 2001, June. The top 10 effects of XML. Strategic Finance.	
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Application Number	10/717,294				
Filing Date	11/19/2003				
First Named Inventor	Kenneth B. Tingey				
Group Art Unit	2164				
Examiner Name	Phuong-Thao Cao				
Attorney Docket Number	12710.0024				
Sheet	11	of	11		

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PTC		Waldrop, M. M. 2002, May. Grid computing. Technology Review, 105(4), 30-37.	
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